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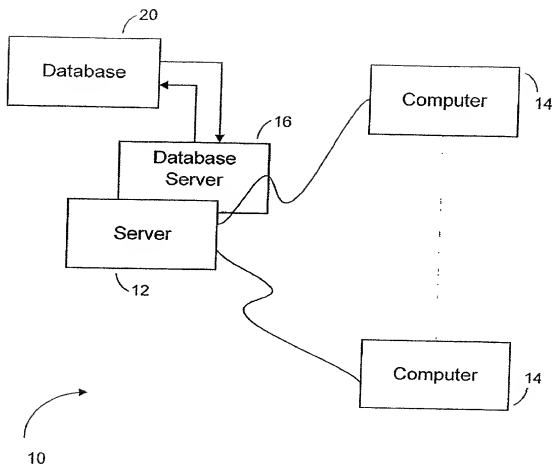


FIG. 1

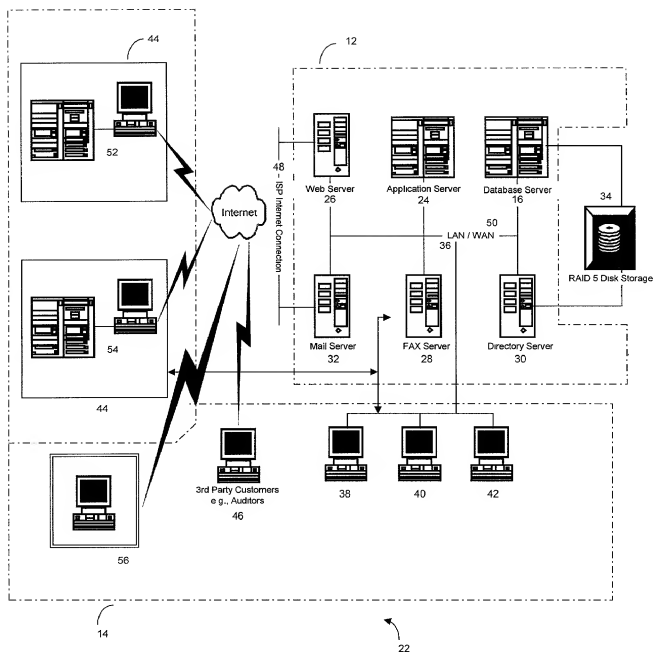


FIGURE 2

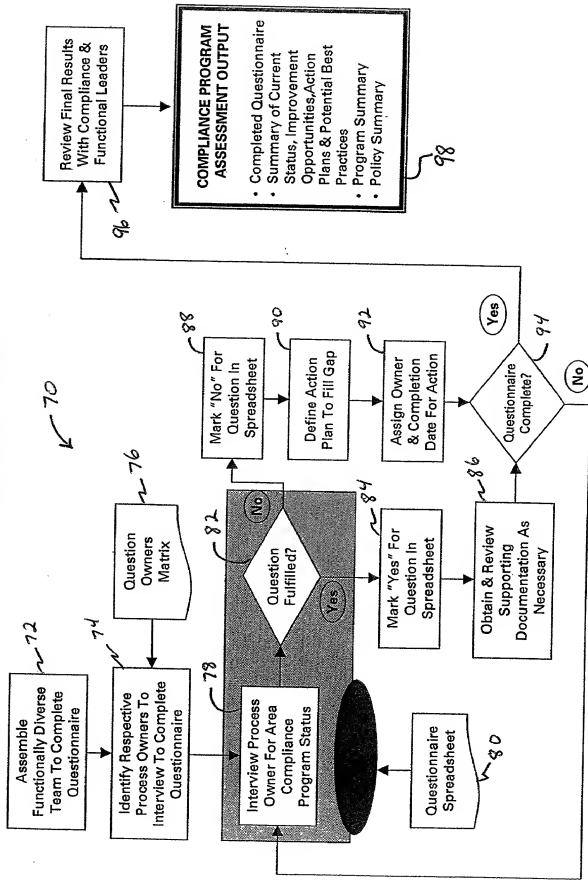


FIG. 3

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Compliance Assessment Areas	Exec. Staff	HR	Legal	Finance	Mfg	Purchasing	Sales	Regulations	Mktg	Over Mgt	Engineering
INFRASTRUCTURE											
I. Leadership Commitment & Operational Ownership	+										
II. Training		+									
III. Communication & Management Reporting											
IV. Resources			+								
V. Discipline & Enforcement	+										
ISSUE IDENTIFICATION											
I. Identification			+								
II. Roles & Responsibilities		+		+							
III. Issue Identification											
CTO MEASUREMENTS											
I. CTO Measurement Definition											
II. Monitoring & Tracking		+									
III. Audit / Verification		+									
20.2 EQUAL EMPLOYMENT OPPORTUNITY		+									
20.3 HEALTH, SAFETY, & ENVIRONMENTAL PROTECTION											
20.4 ETHICAL BUSINESS PRACTICES											
I. Due Diligence											
II. Routine & Controls			+								
III. Pricing & Discounting											
20.5 COMPLYING WITH ANTI TRUST LAW											
I. Consultations											
II. Pricing											
III. M&A Business Arrangements											
IV. Services & Trade Associations											
20.9 FOLLOWING INTERNATIONAL TRADE CONTROLS											
I. Export Controls & Sanctions											
II. Boycott											
III. Import Compliance											
20.10 WORKING WITH GOVERNMENT AGENCIES											
I. Regulatory Compliance											
30.5 AVOIDING CONFLICTS OF INTEREST		+									

FIG. 4

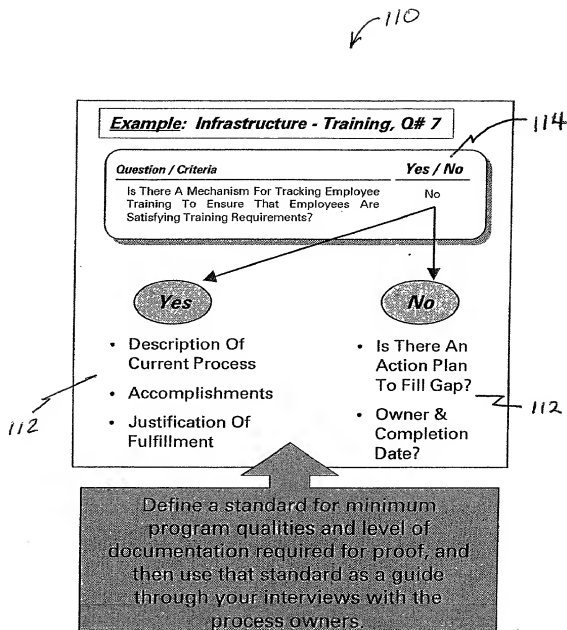


FIG. 5

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GE Widgets Compliance Program Assessment (CPA)				
Business Location: ...				
INFRASTRUCTURE				
LEADERSHIP COMMITMENT & OPERATIONAL OWNERSHIP				
	Y or N or NA	Current State	Target/Medium	Objective - Action Plan
1. Is compliance regularly on the agenda for senior leadership business reviews & meetings?	Y			
2. Are the business leader & his/her direct reports aware of the current compliance risks and requirements in the business?	Y			
3. Is a compliance strategy communicated regularly across the business by the business leader & his/her direct reports?	Y			
4. Do functional leaders regularly discuss the compliance strategy & relevant compliance issues with their organizations?	N			
5. Do compliance procedures are part of the Appraisal and Incentive Compensation Process?	N			

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FIG. 6

QUESTIONNAIRE METRICS
 COMPANY - LOCATION
 DATE

	Score	Opps	% Met
INFRASTRUCTURE			
Leadership, Commitment & Operational Ownership	3	6	50.0%
Training	3	6	50.0%
Communication & Management Reporting	6	9	66.7%
Resources	2	4	50.0%
Discipline & Enforcement	1	1	100.0%
INFRASTRUCTURE	15	26	57.7%
ISSUE IDENTIFICATION	6	8	75.0%
CTQ MEASUREMENTS	2	3	66.7%
20.2 EQUAL EMPLOYMENT OPPORTUNITY	5	5	100.0%
20.3 HEALTH, SAFETY, & ENVIRONMENTAL PROTECTION	2	6	33.3%
20.4 ETHICAL BUSINESS PRACTICES			
Due Diligence	2	4	50.0%

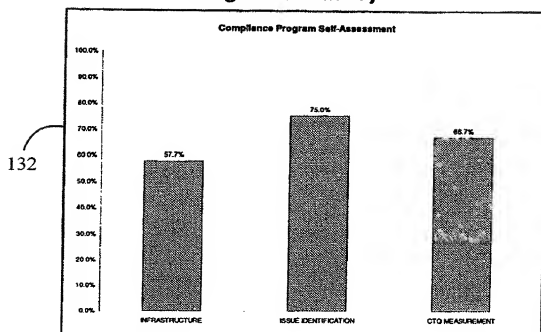
Tabulated Results Spreadsheet - Analysis

FIG. 7

09848051-050301

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Program Summary



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FIGURE 8

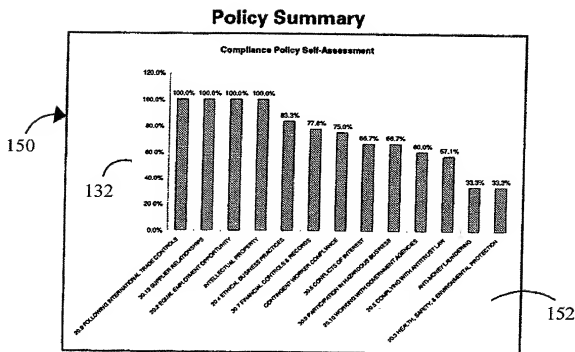


FIGURE 9

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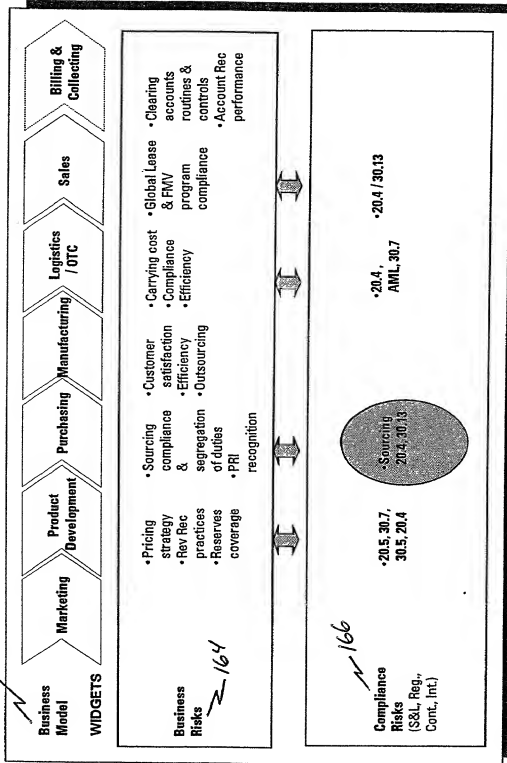


FIG. 10

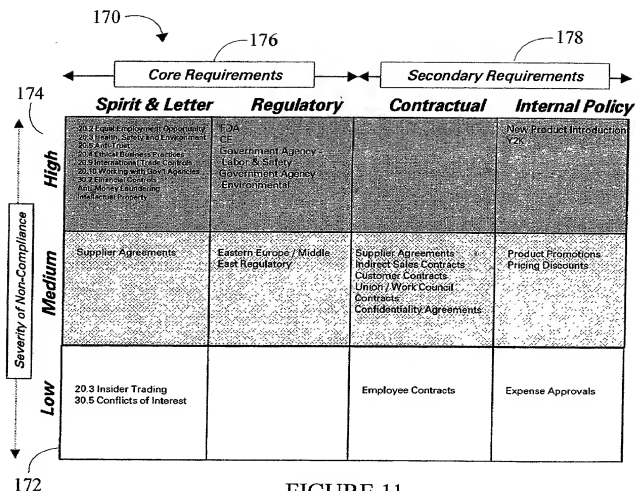


FIGURE 11

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Example

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	Severity X	Process Strength	=	QFD Score
• 30.13 Product Development	5	3		15
• Y2K Physical Product Upgrades	10	7		70

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FIGURE 13

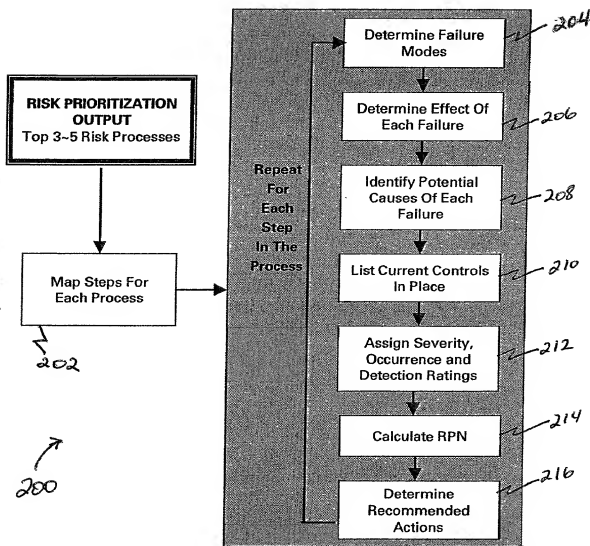


FIG. 14

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Example: Export Process

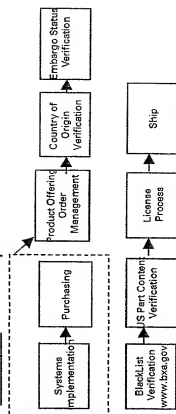


FIG. 15

Process Step/Inputs	Potential Failure Mode	Potential Failure Effects	S E V	Potential Causes	D C O	Current Controls	D E T	R P N	Actions Recommended	Resp.
Information Systems Implementation	Current Oracle Systems Programming does not deliver required info for 20.9	Inability to acquire Part Origin and US Content easily for the logistics process.	8	No Current Reporting Feasibility in Oracle	10	None. Manual data gathering available but tedious.	7	556	Validate similar risk with Marquette US. Submit an RTA to request the development and implementation of this oracle function.	A.H.R./L.
US Part Content Inspection	The calculation of the percent value of US Part to total order may not be accurate	More Goods than are allowed are shipped to sensitive customers	8	Inaccuracy in part content verification process	7	Approved Internal Export Control Process (Seite 2 von 2) but manually executed	8	486	Submit and RTA to provide a report in Oracle that calculates the U.S. part percentage automatically using the information in the product description, country of origin and cost	A.H. / R.N.
License Verification	Accountability in Process Steps/ Structure	Ship without licenses and potential loss of sales	7	Resource Allocations for this process is undefined.	7	No process controls in place	10	467	Identify Licensing Personnel	B.M./R.N.

FIG. 16

← 230

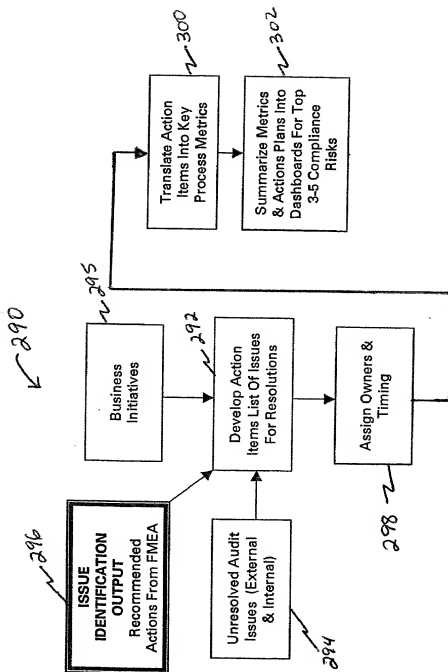


FIG. 18

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Compliance Program Assessment

1. Program Assessment

2. Policy Assessment

Risk Prioritization

3. Summary of Risk Prioritization

Issue Identification

4. Drilldown on Top 3-5 High Risk Areas

Mitigation And Control

5. Schedule 2

6. Dashboards

Training Metrics

7. Monitor Key Metrics Critical To Training Success

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Standard Template

Standard Template

Standard Template

Business Specific Template
(Examples Attached)

Business Specific Template
(Examples Attached)

Business Specific Template
(Examples Attached)

Business Specific

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Percentage Score In Program Areas
Action Plans To Improve

Percentage Score In Policy Areas
Action Plans To Address

Risk To Process Controls Matrix
Define Top 3-5 Most Significant Risk Drivers

Scorecards
Trends/ Key Issues
Action Plan

List Of Actions With Assigned Owner & Timing

Dashboards on Top 3-5 Risk Areas
Summarize Corrective Actions, Owners & Timing

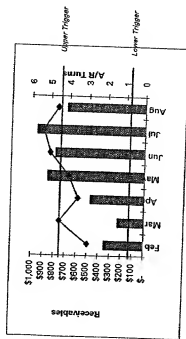
FIG. 19

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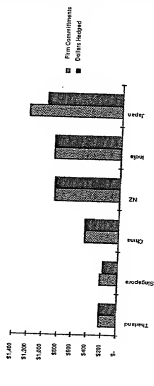
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CFO Dashboard

30.7 Financial Controls



Trigger	Action Plan	Owner/Timing	Status
AR Turns < 4	N	N	N
322	324	326	328



Trigger	Action Plan	Owner/Timing	Status
Fire Com. Not 100% Hedged	N	N	N
322	324	326	328

FIG. 20